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PTO/SB/05 (11-00)  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 537-1038  
First Inventor Alan Robinson  
Title Optical Fiber Amplifier  
Express Mail Label No. EL 700 384 385 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

3. ☒ Specification [Total Pages 11]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]

5. Oath or Declaration [Total Pages ]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: /

Prior application information: Examiner

Group / Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

|         |   |           |               |          |               |
|---------|---|-----------|---------------|----------|---------------|
| Name    | William M. Lee, Jr.   |           |               |          |               |
| Address | LEE, MANN, SMITH, MCWILLIAMS, SWEENEY & OHLSON<br>P.O. Box 2786 |           |               |          |               |
| City    | Chicago   | State     | Illinois      | Zip Code | 60690-2786    |
| Country | U.S.A.  | Telephone | (312)368-1300 | Fax      | (312)368-0034 |

Name (Print/Type) William M. Lee, Jr.

Registration No. (Attorney/Agent) 26,935

Signature

William M. Lee, Jr.

Date 12/15/00

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$870.00

## Complete if Known

Application Number

Filing Date

First Named Inventor

Alan Robinson

Examiner Name

Group Art Unit

Attorney Docket No.

537-1038



## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

12-0913

Deposit Account Name

Lee, Mann, Smith, McWilliams,...

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status. See 37 CFR § 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

| Code | (\$) | Code | (\$) |                        | Fee Paid |
|------|------|------|------|------------------------|----------|
| 101  | 710  | 201  | 355  | Utility filing fee     | 710.00   |
| 106  | 320  | 206  | 160  | Design filing fee      |          |
| 107  | 490  | 207  | 245  | Plant filing fee       |          |
| 108  | 710  | 208  | 355  | Reissue filing fee     |          |
| 114  | 150  | 214  | 75   | Provisional filing fee |          |

SUBTOTAL (1) \$710.00

### 2. EXTRA CLAIM FEES

| Extra Claims       |             | Fee from below | Fee Paid |
|--------------------|-------------|----------------|----------|
| Total Claims       | 9 -20** = 0 | X 80.00        | = 0.00   |
| Independent Claims | 5 - 3** = 2 | X 80.00        | = 160.00 |
| Multiple Dependent |             |                |          |

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

| Code | (\$) | Code | (\$) |  | Fee Paid |
|------|------|------|------|--|----------|
| 103  | 18   | 203  | 9    | Claims in excess of 20                                     |          |
| 102  | 80   | 202  | 40   | Independent claims in excess of 3                          |          |
| 104  | 270  | 204  | 135  | Multiple dependent claim, if not paid                      |          |
| 109  | 80   | 209  | 40   | ** Reissue independent claims over original patent         |          |
| 110  | 18   | 210  | 9    | ** Reissue claims in excess of 20 and over original patent |          |

SUBTOTAL (2) \$160.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code | Small Entity Fee Code | Fee (\$) | Fee (\$) | Fee Description  | Fee Paid |
|-----------------------|-----------------------|----------|----------|--|----------|
| 105                   | 130                   | 205      | 65       | Surcharge - late filing fee or oath  |          |
| 127                   | 50                    | 227      | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                   | 130                   | 139      | 130      | Non - English specification  |          |
| 147                   | 2,520                 | 147      | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                   | 920*                  | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                   | 1,840*                | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115                   | 110                   | 215      | 55       | Extension for reply within first month                                     |          |
| 116                   | 390                   | 216      | 195      | Extension for reply within second month                                    |          |
| 117                   | 890                   | 217      | 445      | Extension for reply within third month                                     |          |
| 118                   | 1,390                 | 218      | 695      | Extension for reply within fourth month                                    |          |
| 128                   | 1,890                 | 228      | 945      | Extension for reply within fifth month                                     |          |
| 119                   | 310                   | 219      | 155      | Notice of Appeal   |          |
| 120                   | 310                   | 220      | 155      | Filing a brief in support of an appeal                                     |          |
| 121                   | 270                   | 221      | 135      | Request for oral hearing   |          |
| 138                   | 1,510                 | 138      | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                   | 110                   | 240      | 55       | Petition to revive - unavoidable   |          |
| 141                   | 1,240                 | 241      | 620      | Petition to revive - unintentional   |          |
| 142                   | 1,240                 | 242      | 620      | Utility issue fee (or reissue)   |          |
| 143                   | 440                   | 243      | 220      | Design issue fee   |          |
| 144                   | 600                   | 244      | 300      | Plant issue fee  |          |
| 122                   | 130                   | 122      | 130      | Petitions to the Commissioner  |          |
| 123                   | 50                    | 123      | 50       | Processing fee under 37 CFR § 1.17(q)                                      |          |
| 126                   | 180                   | 126      | 180      | Submission of Information Disclosure Statement                             |          |
| 581                   | 40                    | 581      | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                   | 710                   | 246      | 355      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                   | 710                   | 249      | 355      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                   | 710                   | 279      | 355      | Request for Continued Examination (RCE)                                    |          |
| 169                   | 900                   | 169      | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify)   |                       |          |          |  |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$0.00

## SUBMITTED BY

Name (Print/Type)

William M. Lee, Jr.

Registration No. (Attorney/Agent)

26,935

Complete (if applicable)

Telephone

(312) 368-1300

Signature

*William M. Lee*

Date

December 15, 2000

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**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor

Alan Robinson

Title

Optical Fiber Amplifier

Atty Docket Number

537-1038



I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12/15/00

Date

*William M. Lee, Jr.*  
Signature

William M. Lee, Jr.

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

003221 62566/60

WJR/hv CASE NO. 537-1038

Please acknowledge  
receipt of the  
enclosed:

Alan Robinson et al.

Serial No. Not yet assigned

Filed:

Title: Optical Fiber Amplifier

1. Utility Patent Application Transmittal
2. Fee Transmittal (in duplicate)
3. Request and Certification
4. 11 pages of specifications
5. 2 sheets of drawings
6. Check No. 42510 for \$ 870.00
7. Certificate of Express Mail
8. Return Postcard

DUE DATE (If Any): N/A

DATE SENT: December 15, 2000

JC841 U.S. PTO  
09/739529  
12/15/00

"Express Mail" mailing label number

EL 700 384 358 US

Date of deposit: December 15, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Richard Sensenbrenner

(Typed or printed name of person mailing paper or fee)



(Signature of person mailing paper or fee)